




CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CPRIT Grantee
Annual Compliance Training
June 2023



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Product Development

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Training Overview


- Introductions
- FWA Reporting
- Recent Administrative Rule Changes
- Policies and Procedures Guide Overview
- Required Reporting
- Programmatic Topics



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Sources of CPRIT Grantee Requirements


- Article III, Section 67 Texas Constitution
- Texas Health & Safety Code Chapter 102
- Texas Administrative Code Chapters 701 - 703
- Grant Contract
- Texas Grant Management Standards (formerly Uniform Grant Management Standards)

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CPRIT Policies and Procedures Guide Chapters Covered Today

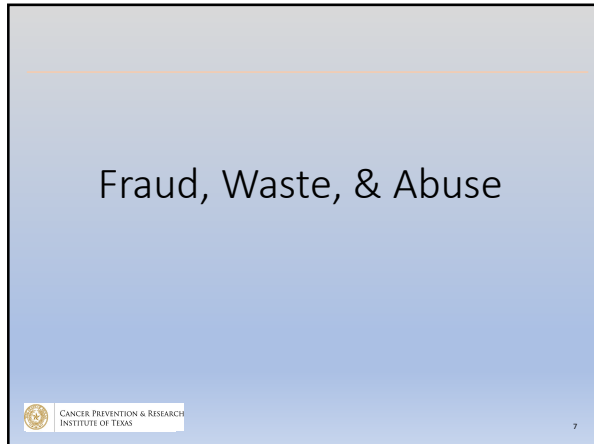
Chapter	Topic
5	Grant Contracts
6	Required Grant Reports
9	Allowable Costs
10	Grantee Budget/Expense Categories and Required Documentation
13	Termination, Extension, and Closeout of Grant Contracts



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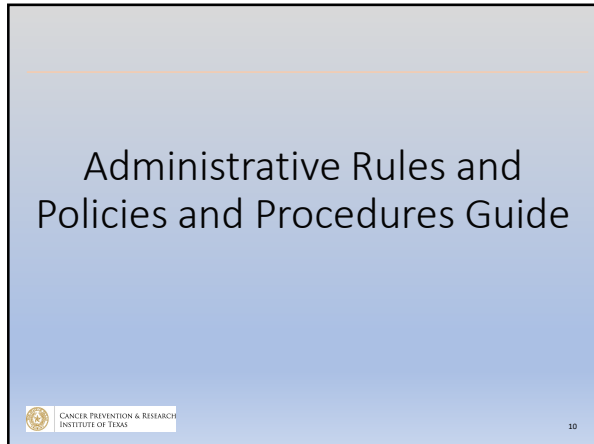
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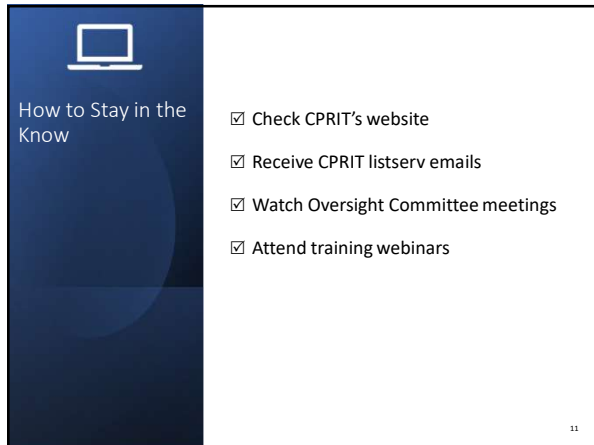
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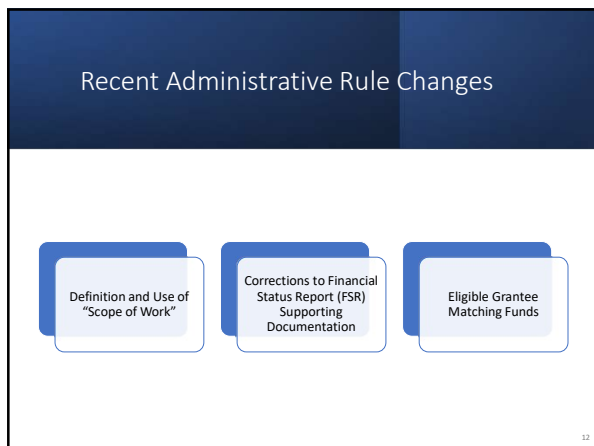
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Definition of "Scope of Work"


§ 701.3(63)

Proposed rule change

Public comment period is open.

- Scope of Work: the goals and objectives or specific aims and sub aims, if appropriate, of the Cancer Research or Cancer Prevention project, including the timeline and milestones to be achieved.
- RFA will specify applicable terminology for a grant mechanism.

 Public comment period is open through July 3rd.

 The Oversight Committee will consider final adoption at the August 16th meeting.

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Use of "Scope of Work"


§§ 701.3(29), 703.6, 703.7, 703.10, 703.21, 703.25

Proposed rule change

Public comment period is open.

- These are non substantive changes that ensure consistent use of "Scope of Work" in CPRIT's rules.

 Public comment period is open through July 3rd.

 The Oversight Committee will consider final adoption at the August 16th meeting.


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Corrections to Financial Status Report (FSR) Supporting Documentation

§703.24(a)(5)

Adopted & final in 2022

Requires a grantee to submit corrections to FSR supporting documentation within five (5) business days after CPRIT makes the request.



If a grantee does not meet the deadline, then CPRIT may disapprove the FSR.

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Eligible Grantee Matching Funds

§ 703.11(c)(7)

Adopted & final in 2022

- Adds relocation costs to Texas as a source of encumbered funds that a grantee may use to fulfill their matching funds requirement.

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Grant Policies and Procedures Guide

A resource for CPRIT grant applicants and grant recipients.

June 2022

Policies & Procedures Guide Overview

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Statute, Rules and Grant Policies Guide

Recently Adopted Rule Changes

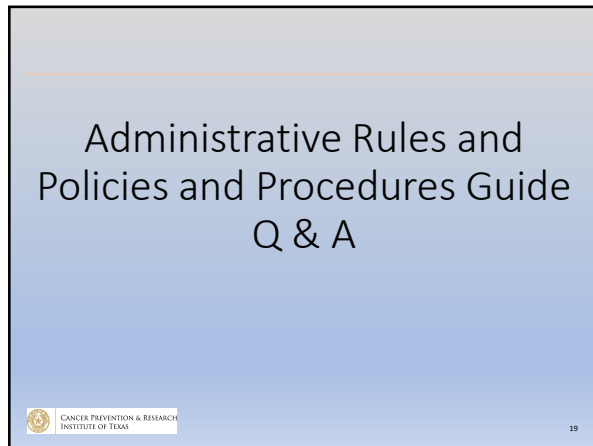
Grant Policy Updates

Statute, Rules and Grant Policies Guide

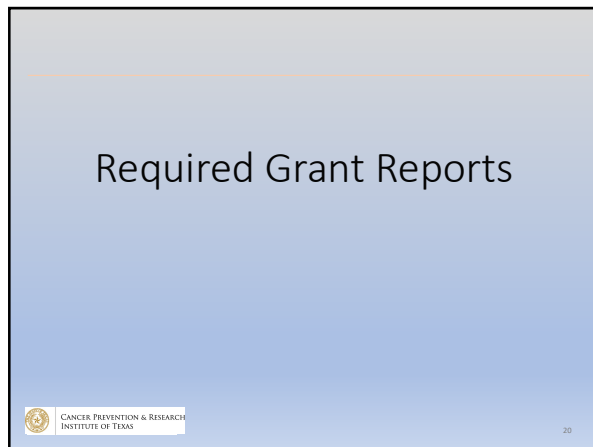
CPRIT's website is the best place to find the current rules and P&P Guide

<https://cprit.texas.gov/about-us/statute-rules-and-grant-policies-guide/>

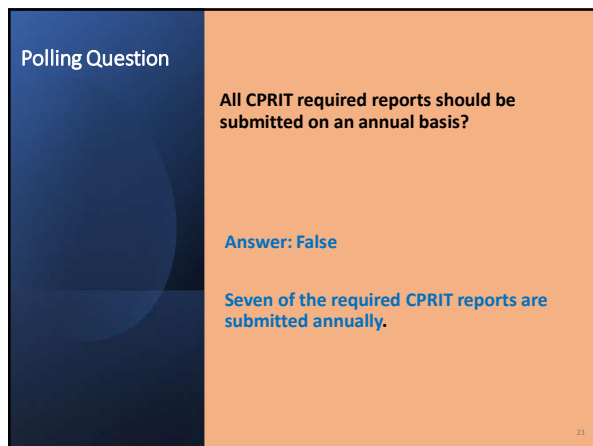
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Reporting Requirements



Annual

- Inventory Report
- Revenue Sharing Report
- HUB/Texas Suppliers Report
- Matching Compliance Certification
- Annual Progress Report
- Single Audit Determination Form
- Audit Report



Quarterly

- Financial Status Report
- Quarterly Progress Report



Periodic

- Interim/ Tranche Report (PD Grantees)

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Progress Reports



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Progress Reports

Ensure that Progress Reports contain accurate and complete impact data.

This includes, but is not limited to:

- Publications
- Follow-on funds
- Patents and Patent Applications
- Clinical trials
- Commercialization activity and progress
- Project Narrative



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Progress Reports
– Common Errors

Incomplete report

Overlap with previous reports

Duplicate entries (publications, jobs, etc.)

Inconsistencies between narrative and data entered

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CPRIT
Acknowledgment

Printed and visual materials related to CPRIT funding should include CPRIT acknowledgment and grant ID.

Publications not funded by CPRIT, should not be included in the progress report

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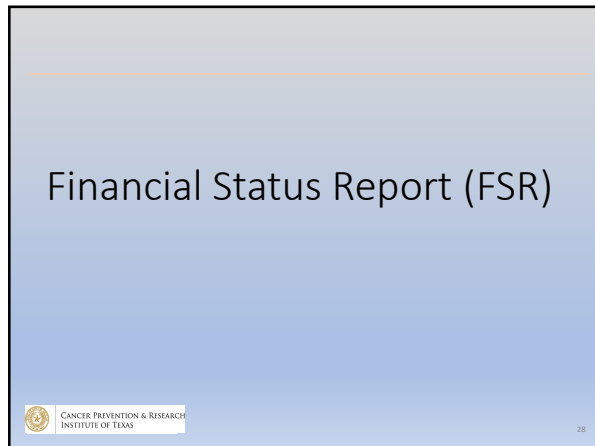
CPRIT Acknowledgment

Funding
This work was conducted with support from [redacted] Cancer Prevention Research Institute of Texas (CPRIT) RP150587. [redacted] was supported by a Career Development Award (CDA 11-217) from the U.S. Department of Veterans Affairs. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health.

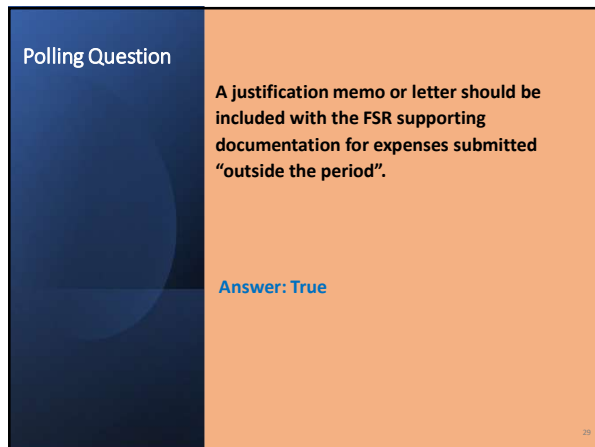
P&P Guide Reference:
5.10 Acknowledgement of CPRIT Funding

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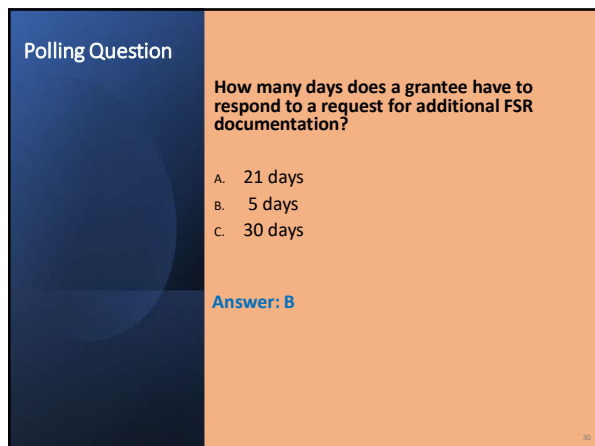
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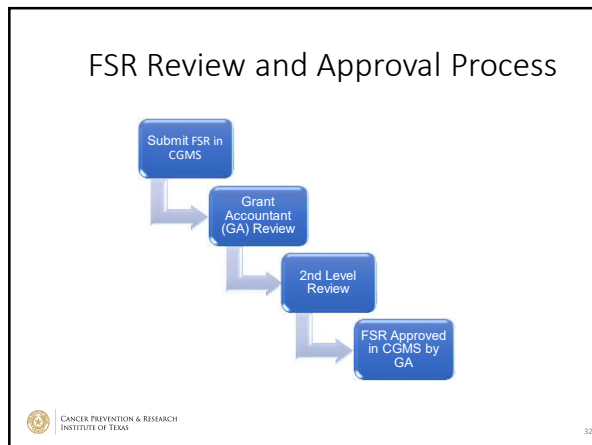
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FSR – Due Dates	Fiscal Quarter/ Reporting Period	FSR Due Date	Last Day of Grace Period
	Sept 1 – Nov 30	Feb 28	Mar 30
	Dec 1 – Feb 28	May 29	June 28
	Mar 1 – May 31	Aug 29	Sept 28
	June 1 – Aug 31	Nov 29	Dec 29

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FSR Required Supporting Documentation	<p>Every Financial Status Report (FSR) must include a summary report of expenses generated directly from an accounting system or itemized on an <u>Excel spreadsheet</u>, as well as documentation to support grant costs paid during the current reporting period.</p> <p>The report must contain the following information:</p> <ul style="list-style-type: none">• expense categories• itemized expenses• description of items• date paid• amount paid with expense totals broken down by category
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FSR Required Supporting Documentation

If the date paid is not found in the summary report, it should be noted on invoices.

A payment claimed for a period prior to the current period should be accompanied by an **Out of Period (OTP)** letter or memo explaining why the payment was not claimed in the appropriate period.

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FSR Support Documentation Resources



FSR Required Supporting Documentation by Expense Category

Details the documentation a grantee must provide to support expenses reported for each budget category




CPRIT FSR Checklist


A tool to assist grantees submit accurate information and documentation for all costs requested for reimbursement.

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FSR Submissions Checklist




Expenses are paid within FSR period




Payment date is included for all transactions



FSR amounts match ledger totals by expense category




Supporting documents are scanned in the same order as the transaction listing





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FSR Submissions Checklist

 Supporting documents are legible

 Invoice amounts match amounts shown on the ledger and partial charges are explained on the invoice

 Expenses are allowable and properly categorized

 A memo justification for cost out of period is provided

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FSR – Examples of Unallowable Costs


INDIVIDUAL
PROFESSIONAL
MEMBERSHIP FEES


ALCOHOL


TIPS & GRATUITIES


BAD DEBT


LOBBYING COSTS


ENTERTAINMENT

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Common FSR Review Issues

Mis-categorization of expenses

Reimbursement amount is not clear

Documents are not clearly labeled

Invoices lack detailed purchase description

Lack of response from grantee for additional information

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Mis-categorization of Expenses

- Expense mis-categorization is most common in these three budget categories;
 - Supplies
 - Other
 - Equipment
- Ensure that your budget justification allocates expenses to the appropriate budget category.

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The FSR was submitted with \$88,645.78 in expenses classified as "Other." After reviewing the supporting documents, it was determined that \$40,700.26 should be allocated to "Equipment," \$44,165.52 should be allocated to "Supplies," and \$3780 should be allocated to "Other."

Pay Date	Descr	Budget Category (BBS)	Descr2	Fund	Dept	Project	Document	Expended	Pay Period Details	Account	Invoice Date	Line Item #
11/1/2022	MS SQL GT CHARGES	1-Other	Maintenance & Operation	42004	12250	07740	117002-0819	45,165.26	MS SQL MONTHLY CHARGES	11-2022	775034	1
11/1/2022	MS SQL GT CHARGES	1-Other	Maintenance & Operation	42004	12250	07740	117002-0819	44,165.52	MS SQL MONTHLY CHARGES	11-2022	775034	1

Scripted Categories		
1	Salary	\$36,237.08
2	Fringe	\$10,615.54
3	Travel	\$0.00
4	Equipment	\$40,700.26
5	Supplies	\$44,165.52
6	Contractual	\$0.00
7	Other	\$3,780
8	Indirect Costs	\$7,269.38
Total		\$145,787.80

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- Dell DIR-TSO-3763
- OMNIA #R200803

Hardware

Description	Price
PowerEdge R7525 - [amer_r7525_13945]	\$40,700.26
Description	840/Quantity
SAS/SATA Backplane	379-B25S
PowerEdge R7525 Server	210-AJYQ
TruScale Platform Module 2.0 V3	401-A4G2
8X 3.5 SAS/SATA with 10GB	321-8F0U
AMD 7702 20Hc/84C/128T/256M/200W/3300	338-859W
AMD 7702 20Hc/84C/128T/256M/200W/3300	338-859W
Additional Processor Selected	379-B2C0
Heatbank for 2 CPUs + GPU/PGA/Full Length card config configuration	413-A4CZ
Performance Optimized	370-A4BP
3200MT/s RDIMMs	370-AEVR
RAID 5	780-B2CP
PERC H745 Controller, Front	405-A4UZ

Reclassified from "other" to "equipment"


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Supplies Category Expenses

- Desktop and laptop computers (including notebooks, tablets, and similar devices)
- Non-portable printers and copiers
- Communication devices (mobile telephones)
- Lab materials
- Office Supplies
- Equipment with unit cost of less than \$5000

P&P Guide Reference:
10.6 Supplies Expense Category

A photograph of a desk with office supplies, including a keyboard, a yellow mug, a pencil holder, and a small potted plant.

Other Category Expenses

- Printing and reproduction expenses
- Gift or gas cards
- Publication fees
- Equipment warranties and service contracts
- Conference/registration fees
 - *Conference and seminar registration fees should be reported in the "other" category when incurred by the institution/organization or when paid by an employee, but employee is not requesting travel reimbursement.*
- Postage and shipping services (FedEx, UPS), etc.

P&P Guide Reference:
10.8 Other Expense Category





Equipment Category Expenses

- Equipment with unit cost of \$5000 or more


R&P Guide Reference:
12.4.4.7 Equipment

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Reimbursement Amount Not Clear

- Identify the amount charged to CPRIT when less than invoice amount.

Item Total	USD	3,430.00
Gross Value		3,430.00
Net Value		3,430.00
Shipping Fees		14.52
Total Solution Cr.		1,166.00-
Amount Paid	USD	2,278.52
\$2,000 charged to CPRIT award	Credit Card Charge Details: MC ****5345	USD 2,278.52




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Documents Not Clearly Labeled

- Individual items referenced in GL with the same letter:

TRAVEL	19.2	I	8/24/2022
TRAVEL	23.1	I	8/24/2022
TRAVEL	30.0	I	8/24/2022
TRAVEL	24.4	I	8/24/2022
TRAVEL	✓ 989.0	I	8/24/2022
TRAVEL	725.0	I	8/24/2022
TRAVEL	18.7	I	8/24/2022
TRAVEL	17.6	I	8/24/2022
TRAVEL	20.1	I	8/24/2022
TRAVEL	33.5	I	8/24/2022
TRAVEL	29.9	I	8/24/2022
TRAVEL	46.2	I	8/24/2022
TRAVEL	6.3	J	8/24/2022
TRAVEL	4.9	J	8/24/2022
TRAVEL	790.5	J	8/24/2022
TRAVEL	36.9	J	8/24/2022
TRAVEL	9.2	J	8/24/2022
TRAVEL	5.8	J	8/24/2022
TRAVEL	14.8	J	8/24/2022
TRAVEL	33.5	J	8/24/2022
TRAVEL	9.2	J	8/24/2022




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Financial Status Reports

Q & A




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Personnel / Fringe Expense

Category



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FSR Personnel & Fringe


- Payroll ledger included and it ties to GL
- All employees are listed on PLOE with Level of Effort for current award year
- Fringe expenses are listed by category for each employee
 - **Exception:** A copy of the agreement that describes the categories of fringe included in the pool must be provided if a grantee uses pooled fringe in accordance with a federally approved rate agreement.


Best Practice

①

②

③






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Personnel Level of Effort (PLOE)



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Polling Question

The personnel level of effort (PLOE) form should be updated once a year.

Answer: False

The PLOE should be updated quarterly before submitting the FSR.

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Polling Question

Do employees whose salaries and fringe are charged to the grant need to be listed on the PLOE?

Answer: Yes

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PLOE Checklist

- PLOE **must be updated prior** to submitting FSR
- Each employee with salary/fringe has Level of Effort for current award year
- All employees with travel, tuition, stipends and conference fees are listed on the PLOE

Best Practice

P&P Guide Reference:
5.5.8 Personnel Level of Effort Form

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PLOE Checklist

PLOE change requests contain all the following elements:

- type of appointment (number of months)
- % effort
- justification for the change

Enter information for all 3 categories

P&P Guide Reference:
5.5.8 Personnel Level of Effort Form

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CEO / Upper Management Change

Important


CEO or other upper management changes **must** be communicated to CPRIT.

- Submit a Change Not Otherwise Specified (CNOS) change request in CGMS
- Include a CV or resume

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- Update PLOE prior to submitting FSR
- When grant moves to closeout status
 - PLOE cannot be revised in CGMS
 - Expenses related to personnel not updated on the PLOE **will not be reimbursed**

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Personnel Level of Effort
Q & A

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Travel Expense Category

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Polling Question

International travel requires prior approval if it is not included in the original budget justification.

Answer: True

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Polling Question

Should meal receipts be submitted if claiming per diem?

Answer: No

Meal receipts are not required when claiming per diem

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Travel Expense Report Requirements

For each trip taken, a separate travel expense report with all supporting documentation should be submitted, which should include:


- Grantee Name
- Traveler's Name
- Date(s) of travel
- Purpose of the travel
- Itemization of expenses
- Proof of payment

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Travel Expense Checklist




All travelers **must** be listed on the PLOE




Receipts should be legible and in same order as GL



Unless using per diem, meal expenses should be supported by itemized receipts.



Clearly identify meals for reimbursement on split receipts




Group and day trip meals are not allowed

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Travel Expense Checklist




Grantee **must** include documentation of CPRIT approval for all international travel expenses



GSA rate printout for the travel location(s) zip code should be attached



Mileage calculations and transportation receipts included



Gratuities and alcohol should be excluded



Meals and lodging expenses are within GSA limits




Include a calculation to show that hotel room rates and taxes are prorated when they exceed the per diem

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Conference and Seminar Registration Fees

- Employees who pay the registration fees and incur travel expenses to attend a conference/seminar can report the fees on their travel reimbursement voucher.



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Texttravel – Hotel Occupancy taxes Maximum Reimbursement

Fiscal Management

Home / Travel

Home Rates Transportation **Meals and Lodging** Exceptions Miscellaneous Provisions Examples Documentation Required

Meals and Lodging

Meals

Lodging

Hotel occupancy taxes

Exception for employees of educational organizations

Exception for certain state officers or employees

Exception for travel outside

Hotel occupancy taxes

Maximum reimbursement

When a state employee is entitled to be reimbursed for payment of a hotel occupancy or similar tax and the lodging amount incurred exceeds the maximum allowable lodging rate, the following calculation methods for the tax reimbursement must be used:

If the tax is calculated as a percentage of the lodging rate, then the amount of the reimbursement is equal to the percentage multiplied by the maximum that may be reimbursed to the employee for lodging expenses.

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Prorated hotel room rate and taxes when they exceed the per diem

08/19/22	ROOM CHARGE	RP1214	239.94	187 on FSR (GSA)
08/19/22	Room Tax	RT1214	28.55	22.25
08/19/22	City Tax	CT1214	10.80	8.42
08/19/22	County Tax	TA1214	2.40	1.87

Prorated taxes based on \$187 max GSA lodging rate:

$(28.55/239.94) * 187 = 22.25$

$(10.8/239.94) * 187 = 8.42$

$(2.40/239.94) * 187 = 1.87$

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Ineligible Travel Costs

Alcohol or gratuities

Airfare costs that exceed coach class

Foreign travel without prior CPRIT approval

Travel outside of the grant contract effective dates

Employee traveling not listed on Personnel Level of Effort (PLOE)

Dates of travel occur outside of the employee's PLOE period (Travel Only Exception)


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Foreign Currency



Foreign currency travel expenses **must** be:

- converted to US dollar amounts before submitting to CPRIT, and
- documentation of the exchange rate used for the conversion **must** be included with supporting documents.

P&P Guide Reference:
10.4.4 International Travel Requires Prior Approval

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Contractual Travel


Contractual Travel Costs	Required Support Documentation
Airfare	Itemized Amount
Mileage	Itemized Amount
Hotel	Itemized Amount
Meals	Receipts
Taxi/Uber	Receipts

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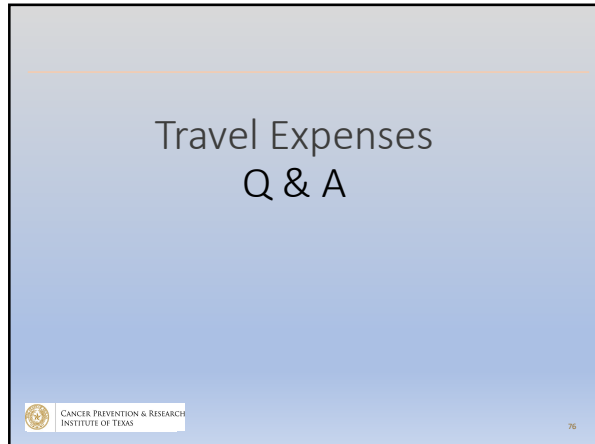
 **RECAP**

- Submit a **complete** travel expense report for each traveler and include all supporting documents
- Travel receipts should be in same order as GL
- Submit copy of GSA meals and lodging rates with supporting documents
- Submit foreign travel approval with supporting documents
- Convert foreign travel currency expenses to USD and include exchange rate used

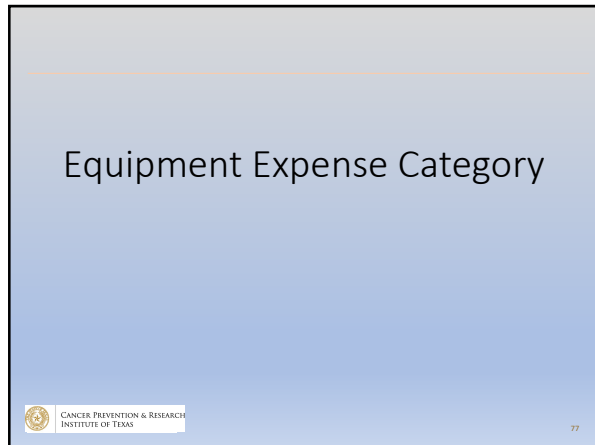
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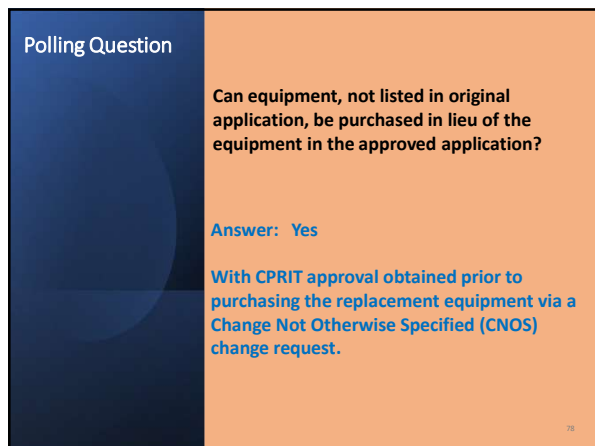
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Polling Question

Equipment service agreements cannot be purchased during a NCE.

Answer: False

Service agreements can be purchased but the cost must be prorated if the service agreement extends beyond the new end date of the grant.


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Equipment

For all equipment expenses, the grantee **must** include acceptable documentation of CPRIT approval.

Acceptable documentation includes:

- Initial Budget Justification with equipment items highlighted
- Approved change request





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Acceptable Equipment Documentation

Change Requests

Grant ID: [REDACTED]
PI/PO/CR: [REDACTED]

Grant Title: [REDACTED]
Organization: [REDACTED]

Grant Information

Contacts

Documents & Forms

Correspondence

Internal Review

Budget & Financial Status Reports

Progress Reports

Change Requests

Back to Change Requests

Change - Not Otherwise Specified

* Change Request Details:

I am requesting to rebudget funds allocated to subcontracts to purchase a tissue homogenizer, \$42,750.

* Justification:

The remaining equipment require a greater degree of Y care to be recovered from tumors and given under license from funding from our past animal cohorts. For this reason, we require the equipment purchase of a homogenizer.

View/Hide Notes and Comments About This Document

2022-02-07 08:45: Complete Web Form: [REDACTED]

2022-02-07 08:45: Verify Information (pending): [REDACTED]

2022-02-07 08:51: ASO Review (approved): [REDACTED]

2022-02-07 12:05: Grant Manager Review (approved) - Moon, Patty (Grant Manager)

2022-02-07 12:07: Contract Manager Review (approved) - Nelson, Lisa (Contract Manager)

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Acceptable Equipment Documentation

LINE	PART ID	DESCRIPTION	UM	TAX	QUANTITY	UNIT PRICE	EXTENSION
1	NS0001	NanoAssembla Spark Instrument	EA	R	✓ 1.0000	25,116.00	✓ 25,116.00
2		FREIGHT CHARGE	EA	N	0.0000	0.00	78.58

Detailed Budget for Year One

Other Direct Charges	
Travel	\$3,000
Equipment (Itemized)	
Funds are requested to upgrade several instruments to optimize manufacturing and to enhance efficiency: Precision NanoSystems NanoAssembla, Agilent TapeStation, Shaking Incubator, Oxford Nanopore Technology MinION (refer to budget justification for details).	\$50,000

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Matching Compliance Certification (MCC)



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Polling Question

Which items are allowable match expenses?

- A. Travel expenses that exceed the GSA per diem limit on hotel rates or meals
- B. Short-term travel visa fees and associated costs for an employee listed on the PLOE
- C. An employee's salary amount that exceeds CPRIT's \$200,000 cap
- D. Grantee professional association fees or dues
- E. None of the above
- F. All of the above

Answer: F


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Matching Compliance Certification (MCC)

- Institutions of Higher Education may use their Federal Indirect Cost Rate to fulfill match requirement
- Institutions of Higher Education **must upload to each grant record** most current indirect cost rate agreement
- If grantee uses a blended indirect cost rate calculation, grantee is **required** to have and follow a documented internal policy

P&P Guide Reference:
6.4 Matching Funds Certification and Verification



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MCC Support Documentation

Grantees must upload 100% of the supporting documentation when the MCC form is completed and uploaded to CGMS.

MCC will not be approved until all documentation is uploaded and reviewed by CPRIT.

The work must support, extend, or facilitate the CPRIT project in some way, even if it is not funded by CPRIT.

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MCC Required Support Documentation

Match Expenses Ledger

Invoices related to Match expenses

Proof of payment

Applicable bank statements

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MCC - Deficiency

A match deficiency may be carried forward and added to the matching fund requirement for the next project year so long as:

- Deficiency is equal to or less than 20% of the total matching funds required for the same period; and
- No prior matching funds deficiency



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MCC – Allowable Expenses (not an exhaustive list)

- Any expense that can be claimed for grant reimbursement
- Unrecovered indirect costs up to ten percent (10%) of the grant award amount (in addition to 5% indirect costs claimed for reimbursement) DOES NOT APPLY TO ACADEMIC INSTITUTIONS
- An employee's salary amount that exceeds CPRIT's \$200,000 cap
- Travel expenses that exceed the GSA per diem limit on hotel rates or meals
- Airfare costs that exceed coach class airfare
- Foreign travel related to CPRIT's funded project

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MCC – Allowable Expenses (not an exhaustive list)

- Taxes that are effectively user fees (hotel taxes, gasoline tax, or airfare tax)
- Short-term travel visa fees and associated costs for an employee listed on the PLOE
- Grantee professional association fees or dues (related to the CPRIT-funded project)
- Patent application fees and associated patent application preparation costs
- Moving costs of office furnishings or employees of companies relocating to Texas
- Security systems and ongoing security system monitoring fees for physical space

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Match Certification

- For grantees receiving advancement of funds, the annual matching certification is based on the **greater** of 1) the amount of funds advanced or 2) the amount expended
- Example:**
Funds Advanced - \$1,000,000
Funds Expended - \$750,000
Required Match - \$500,000

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Match Certification



Grant funds for the next project year will not be distributed until the previous year's matching funds verification and certification for the upcoming year have been **approved**.

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Matching Compliance Certification Q & A




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No Cost Extensions (NCE)



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No Cost Extension (NCE)

- Request must be submitted at least 30 days prior to termination date but not more than 180 days prior
- Grantee must complete the date field on the request
- More than 6 months can be requested
 - CPRIT will complete the date field for request greater than 6 months
 - The increased number of months should be mentioned in the first sentence of the justification

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No Cost Extension (NCE)

- There is no automatic approval. NCEs are based on several factors including;
 - documentation of progress
 - documentation that the work proposed for the NCE is consistent with the initial award
 - grantee must be in good fiscal and programmatic standing
- Approved NCEs
 - The PI must exhibit measurable effort during an approved NCE
 - The final report dates will change, but an additional annual report as well as quarterly reports are required until the contract ends

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No Cost Extension PLOE Update

The PLOE for NCEs needs to be updated because the extension time period defaults to zero.

Example of a NCE which resulted in a Year 4 – automatically populates with zeros

Other Personnel	Level of Effort (LOE)	Year 1	Year 2	Year 3	Year 4	Total Person Months Per Person
Role on Project	Type App. (months)	0	0	12	12	
Program Contributor	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	12.00	0.00	12.00
	Type App. (months)	0	12	12	12	
Co-Program Director	Effort on Project	0.00%	0.00%	0.00%	0.00%	
	Person Months	0.00	0.00	0.00	0.00	0.00
	Type App. (months)	0	0	12	12	
Program	Effort on Project	0.00%	0.00%	0.00%	0.00%	
	Person Months	0.00	0.00	0.00	0.00	0.00
	Type App. (months)	0	12	12	12	
Program	Effort on Project	0.00%	100.00%	100.00%	0.00%	
	Person Months	0.00	0.00	0.00	0.00	0.00
	Type App. (months)	0	12	12	12	
Co-PI	Effort on Project	0.00%	0.00%	0.00%	0.00%	
	Person Months	0.00	0.00	0.00	0.00	0.00
	Type App. (months)	0	0	12	12	
Program Contributor	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	4.00	0.00	4.00
	Type App. (months)	0	0	0	12	
Program Assistant	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	4.00	0.00	4.00
	Type App. (months)	0	12	12	12	
PI/PI-CLIN	Effort on Project	0.00%	100.00%	100.00%	0.00%	
	Person Months	0.00	0.00	4.00	0.00	8.00
	Type App. (months)	0	0	0	0	
Program Assistant	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	0.00	0.00	0.00
	Type App. (months)	0	0	12	12	
Total Person Months Per Year		0.00	0.00	20.00	0.00	20.00



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NCE – Frequently Asked Questions

What research can be conducted during an NCE?

Answer: Only scope of work items and associated aims and sub-aims that have been approved but have not yet been completed can be conducted during an NCE.




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Programmatic Topics



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Texas Location Criteria

Product Development Grantees must maintain its principal place of business in the State of Texas for a period of three years after the final payment of the Grant funds is made by CPRIT



P&P Guide Reference:
2.4 Eligibility

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Texas Location Criteria

Must demonstrate and maintain at least 4 of the 7 criteria throughout the entire grant period


Criteria:

- The U.S. headquarters is physically located in Texas
- The Chief Executive Officer resides in Texas
- A majority of the company's personnel, including at least two other C-level employees (or equivalent) reside in Texas
- Manufacturing activities take place in Texas
- At least 90% of Grant Award funds are paid to individuals and entities in Texas, including salaries and personnel costs for employees and contractors
- At least one clinical trial site in Texas
- Collaboration with a medical research organization in Texas, including a public or private institution of higher education

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Texas Location Criteria


New Grantees will have one year from the date of receiving the disbursement of grant award funds to meet the Texas Location Criteria requirements



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Location Criteria Support Documentation

Texas Location Criteria Type	Acceptable Supporting Documentation
The U.S. headquarters is physically located in Texas	<ul style="list-style-type: none"> Lease agreement Most recent tax return
The Chief Executive Officer resides in Texas	<ul style="list-style-type: none"> Texas Drivers License Apartment/rental home lease agreement Utility Bill Pay Stub
Majority of the company's personnel, including at least 2 other C-level employees (or equivalent) reside in Texas	<ul style="list-style-type: none"> Texas Drivers License Apartment/rental home lease agreement Utility Bill Employee roster with names and home addresses Pay Stub



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Location Criteria Support Documentation

Texas Location Criteria Type	Acceptable Supporting Documentation
Manufacturing activities take place in Texas	<ul style="list-style-type: none"> Contract/agreement If manufacturing activities take place at grantee's address (onsite); Photos of the facility
At least 90% of Grant Award funds are paid to individuals and entities in Texas, including salaries and personnel costs for employees and contractors	<ul style="list-style-type: none"> Employee roster with names and addresses Detailed expenditure report with vendor's name, location and total amounts paid
At least one clinical trial site in Texas	<ul style="list-style-type: none"> Contract/agreement
Collaboration with a medical research organization in Texas, including a public or private institution of higher education	<ul style="list-style-type: none"> Contract/agreement


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Advance Payments

- CPRIT will advance up to 50% of the project year budget at one time
- Must expend at least 90% of the grant award funds in a tranche before the additional funds will be advanced
- 10% of grant award funds will be withheld from a grantee until the grantee has completed the contract close out process and all grant reports have been submitted to and approved by CPRIT


P&P Guide Reference
8.2.2 Advance Funds Method
13.6 Final 10% of Grant Funds for
Grantees Receiving Advance Payments

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Advance Payments

- Advancements are requested by utilizing the "Advancement of Funds Form" option on the "Change Request" tab in CGMS



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Change of Approved Goals and Objectives




- Any changes to the scope of work or budget should be consistent with the guidance provided by reviewers and must be approved by CPRIT

P&P Guide Reference:
11.3 Goals and Objectives

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Grant Support



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Points of Contact

CARS/CGMS Technical Issues?
Contact CPRIT Helpdesk
Email: Help@CPRITGrants.org
Phone: 866-941-7146

Programmatic/ Content questions?
Contact the CPRIT Program Manager/Officer

Financial Questions/Issues?
Contact CPRIT Finance Manager/ Grant Accountant


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Contact Information

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Jennifer Dear Compliance Specialist 512-475-2507 jdear@cprit.texas.gov	Vince Burgess Chief Compliance Officer 512-305-8453 vburgess@cprit.texas.gov

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CPRIT Grantee Annual Compliance Training

June 2023

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Product Development

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